

Information for Industry Programs

Research, Development, and Acquisition

**Headquarters
Department of the Army
Washington, DC
17 June 1988**

UNCLASSIFIED

SUMMARY of CHANGE

AR 70-35

Research, Development, and Acquisition

This revision--

- o Delegates the US Army Laboratory Command as executive agent for the Army Information for Industry Program.
- o Describes the responsibilities of Technical and Industrial Liaison Offices (para 2-1).
- o Defines the Army Potential Contractor Program, which replaces the Quantitative Requirements Program (para 2-2).
- o Defines and provides the publication of Technical Objective Documents (para 2-5).

Effective 18 July 1988

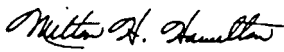
Information for Industry Programs

Research, Development, and Acquisition

By Order of the Secretary of the Army:

CARL E. VUONO
General, United States Army
Chief of Staff

Official:



MILTON H. HAMILTON
Administrative Assistant to the
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History. UPDATE printing of 17 June 1982 publishes a revision. This publication has been reorganized to make it compatible with the Army electronic publishing database. No content has been changed.

Summary. This regulation establishes policy, responsibilities, and procedures for the operation of programs that provide access to releasable defense technical, planning, requirements, budget, and acquisition information to industrial or other organizations capable of engaging in defense research, development, and acquisition (RDA) programs.

This regulation designates the U.S. Army Laboratory Command as Executive Agent.

Applicability. This regulation applies to all active Army organizations, including civil works elements of the U.S. Army Corps of Engineers, that direct, administer, perform, or support research, development, manufacturing, test, and evaluation programs as well as those that produce RDA program plans, requirements, or technical reports. This regulation does not apply to the Army National Guard or the U.S. Army Reserve.

Impact on New Manning System. This regulation does not contain information that affects the New Manning System.

Internal Control Statement. This regulation is not subject to the requirements of AR 11-2. It does not contain internal control provisions.

Supplementation. Major Army commands may supplement this regulation for implementation purposes. Implementing documents will be reviewed and approved by HQDA (SARD-TN), WASH DC 20310-0103.

Interim changes. Interim changes to this regulation are not official unless they are authenticated by the Administrative Assistant to the Secretary of the Army. Users will destroy

interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested Improvements. The proponent agency for this regulation is the Office of the Assistant Secretary of the Army (Research, Development, and Acquisition). Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (SARD-TN), WASH DC 20310-0103.

Distribution. Distribution of this issue is made in accordance with DA Form 12-9A-R requirements for 70-series publications. The number of copies distributed to a given subscriber is the number of copies requested in Block 112 of the subscriber's DA Form 12-9A-R. AR 70-35 distribution is D for Active Army; None for ARNG, and None for USAR. Existing account quantities will be adjusted and new account quantities will be established upon receipt of a signed DA Form 12-9U-R (Subscription for Army UPDATE Publications Requirements) from the publications account holder.

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*This regulation supersedes AR 70-35, 15 January 1970.

AR 70-35 • 17 June 1988

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Chapter 1 Introduction

1-1. Purpose

The purpose of this regulation is to promote access to releasable defense technical, planning, requirements, budget, and acquisition information to current and potential defense contractors. The regulation establishes responsibilities and procedural guidelines for the RDA Information for Industry Program.

1-2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

1-3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

1-4. Responsibilities

a. *Assistant Secretary of the Army (Research, Development, and Acquisition) ASA (RDA)* The ASA (RDA) has Army staff responsibility for RDA information for industry programs and establishes policy and guidelines for release of RDA planning and budget documents that originate in the OASA (RDA).

b. *Deputy Chief of Staff for Operations and Plans (DCSOPS)* The DCSOPS establishes policy and guidelines for release of materiel requirements documents that originate in the ODCSOPS.

c. *Deputy Chief of Staff for Intelligence (DCSINT)* The DCSINT serves as the final authority for determining the releasability of U.S.classified information to foreign-owned contractors. The DCSINT resolves conflicts in release determinations. As the Army Senior Intelligence Officer, the DCSINT provides guidance on, and is the final approval authority for, release of intelligence information to contractors.

d. *Commanding General, U.S. Army Training and Doctrine Command (CG, TRADOC)* The CG, TRADOC establishes policy and guidelines for release of materiel requirements documents and operational and organizational (O&O)plans that originate in TRADOC.

e. *Commanding General, U.S. Army Materiel Command (CG, AMC)* The CG, AMC delegates management responsibility for the Army Information for Industry program to the Commanding General, U.S. Army Laboratory Command.

f. *Commanding General, U.S. Army Laboratory Command (CG, LABCOM)* .The CG, LABCOM designates an Army Information for Industry Manager (AIFIM) who will—

(1) Provide staff management for the Technical and Industrial Liaison Offices(TILOs).

(2) Provide staff management for operation of the Army Potential Contractor Program (APCP).

(3) Provide staff management for research and development (R&D) unfunded studies.

(4) Coordinate scheduling of advance planning briefings for industry (APBIs).

(5) Coordinate the preparation of Technical Objective Documents (TODs) and their distribution to the TILOs.

(6) Provide supplemental instructions regarding these programs.

(7) Act as liaison with TRADOC regarding the draft and approved requirements documents for industry.

g. *Heads of materiel developing agencies* The heads of materiel developing agencies (materiel developers) issue supplements to this regulation, thus establishing policy and guidelines for implementation of this regulation by their agencies. The agencies will submit copies of the supplements to HQDA (SARD-TN) for approval and to CG, LABCOM(AMSLC-TP-TI) for information. The head of each agency will establish an Information for Industry Program (IFIP) structured to meet the requirements of the agency as well as the policies and guidelines of this regulation.

h. *Commanders of major Army commands* Commanders of major Army commands not covered by paragraph g above may establish

an IFIP if desired; however, IFIPs so established will follow the provisions of this regulation.

1-5. Provision of information to industry

a. It is the policy of the Army to provide guidance and support to current and potential defense contractors by giving them access to releasable technical, planning, requirements, budget, and acquisition information. Release of acquisition information is covered by the Federal Acquisition Regulation (FAR)and the Department of Defense (DOD) and Army supplements thereto, and will be supervised by a cognizant contracting officer.

b. The Army depends on the industrial sector, including both large and small businesses, for most research and development services and nearly all materiel acquisition. Consequently, it is advantageous to the Army to provide information that will help businesses maintain awareness of prospective Army procurements and develop competitive postures in anticipation of those procurements. By providing information to industry on Army needs, the Army gains access to existing technologies and benefits from increased competition during development and acquisition.

c. Availability of information on defense technology, materiel requirements, and RDA planning is also a critical factor in the planning and execution of independent research and development (IR&D) programs by defense contractors.Expenditures for IR&D are comparable to expenditures by DOD for technology base (6.1, 6.2, and 6.3) programs, and a substantial fraction of all new developments in defense technologies arise from IR&D programs. Therefore, it is imperative that industry have access to technical and planning information to guide IR&D projects toward defense requirements.

d. Providing access to information to qualified current and potential defense contractors requires an active information-transfer program by all Army organizations engaged directly or indirectly in RDA activities. At the same time, precautions are necessary to prevent transfer of critical defenseinformation to adversaries of the United States and its allies. Therefore, a good defense information-transfer program entails the dual and conflicting requirements of promoting transfer to one sector of the public while preventing transfer to other sectors.

e. All Army organizations that produce RDA program plans, requirements, or technical reports will maintain active programs to provide access to this information to qualified organizations.

f. TILOs will give all Army documents containing releasable RDA program requirements, plans, and approved budget information the widest practical distribution among current and potential defense contractors consistent with security and operational policies. TILOs will, of course, not release information on any proposed acquisition or purchases by any DA contracting activity.

g. TILOs will afford all qualified contractors and potential contractors equal access to releasable RDA program planning, requirements, and congressionally approved budget information.

h. TILOs support the local Army/Industry Materiel Information Liaison Officer(AIMILO) by maintaining a permanent file of Advance Planning Acquisition Information (APAI) for access by qualified industrial visitors. The TILO also acts as the local agent for APAI generated by other AIMILOs by maintaining a file of their APAI for a period of 90 calendar days. The TILO may be the local AIMILO, at the discretion of the local commander and the Head of the Contracting Activity.

i. TILOs afford qualified foreign-owned contractors access to releasable research, development, test, and evaluation (RDT&E) program planning, requirements, and approved budget information *provided* that the specific information involved is releasable to the country of ownership.For each such release contemplated, the industrial liaison officer (ILO) uses established foreign-disclosure channels to determine the releasability to U.S.allies. The AIFIM may support the establishment of central TILO interface elements in Europe and the Pacific to enhance interaction with foreign-owned contractors. These elements may supplement the individual TILOs and encourage the participation of foreign-owned contractors.

j. Nothing in this regulation is intended to supersede the Federal

Chapter 2 Program Elements

2-1. Technical and Industrial Liaison Office (TILO)

a. TILOs may be established at major Army commands, major subordinate commands, centers, field units, and laboratories or by program managers. They serve as the primary points of contact with industry representatives for release of information and guidance on the organization's RDA program. Each TILO is managed by an industrial liaison officer (ILO) designated by the head of the organization. The ILO will have sufficient technical expertise to represent his or her organization. Qualifications include the ability to review the capabilities and interests of visitors, to describe relevant Army interests and needs, and to advise visitors on doing business with the Army. The organization will provide the ILO with adequate resources and accessible space to serve the requirements of industrial visitors in a professional manner. The head of the organization will inform the AIFIM of the name and location of the ILO. The AIFIM will, in turn, provide policy and guidance on operating the TILO.

b. The ILO is responsible for—

(1) Providing information and guidance on industry participation in RDA programs sponsored by the organization.

(2) Discussing RDA projects and concepts and/or arranging appointments with other knowledgeable individuals and organizations as appropriate.

(3) Disseminating releasable technical, planning, requirements, budget, acquisition, organizational, and operational information in accordance with guidelines issued by originating agencies. The ILO may represent the organization with appropriate technical/professional societies and associations.

c. TILOs may provide unclassified, unrestricted RDA planning information to any qualified individual or organization. Release of unclassified planning information to foreign-owned businesses will be approved through established foreign-disclosure channels. The ILO will annotate all such documents to indicate that they are being furnished for planning purposes only, and that providing them does not imply a request by the Government for industry-sponsored research and development or a desire for submission of specific hardware or study proposals. Further, the ILO will furnish visitors with a statement that the recipient is being furnished documents for internal use only, and should make no secondary distribution unless authorized to do so by the headquarters of the leasing facility. The policy statement and memorandum of understanding shown in DA Form 5677-R (Policy Statement and Memorandum of Understanding for Review and Receipt of R&D Documents) should be used for this purpose. The TILO interface elements in Europe and the Pacific will guide foreign-owned companies to the correct TILO and ease the flow of information. The ILO retains responsibility for approving the release of information.

d. A qualified individual with a security clearance and need-to-know may review classified research and development planning information at the TILO. Any notes taken will be given the same classification as the materiel to which they pertain. The ILO will release classified notes or documents only to the security office of a cleared facility with appropriate storage capability, transmitting the materials through U.S. Postal Service mail channels in accordance with AR 380-5, chapter 8. In rare cases when properly justified, an officially designated courier may be used. Visits by foreign visitors or by U.S. citizens representing foreign companies will be governed by AR 380-25 and will be coordinated through DCSINT.

e. The command or laboratory will clearly identify the TILO on organization charts and literature provided to the public.

2-2. Army Potential Contractor Program (APCP)

a. The APCP is a formal procedure for certifying the need-to-

know of approved U.S. non-Government organizations that the Army determines to have potential for participating in Army RDA programs as contractors. Under the APCP, such potential contractors have access to scientific, technical, and planning information from the TILOs and the Defense Technical Information Center (DTIC); in fact, one step in the APCP registration is the simultaneous sponsorship of organizations for scientific and technical services with DTIC. The purpose of the APCP is to support organizations in developing technical competence and concepts for meeting Army materiel requirements. The program provides valuable support to current contractors who may be between contracts and to newly formed companies.

b. The APCP is managed by the AIFIM, who is responsible for providing guidance to implementing organizations and for monitoring compliance with that guidance.

c. The APCP may be implemented by heads of major Army commands, major subordinate commands, centers, field units, and laboratories that have RDA programs. The head of each participating organization will designate an APCP officer, who will be responsible for all APCP actions by the organization, and will submit the name of the APCP officer to the AIFIM.

d. All individuals responsible for the administration of APCP will exercise vigilance to ensure that the program is not used to provide unwarranted access to controlled information. In particular, the following constraints will be observed:

(1) Personnel selected to certify potential U.S. contractors will have the technical competence and familiarity with contractor or grantee programs necessary to judge the subject fields of interest to the applicant. The APCP manager is usually the ILO; however, this is not required.

(2) Certification of potential U.S. contractors will be in accordance with AR 70-21, which describes the execution of DD Form 1540 (Registration for Scientific and Technical Information Services). This form documents the registrant's fields of interest and registers the potential contractor with DTIC. In addition, the policy statement and memorandum of understanding shown in DA Form 5678-R (Policy Statement and Memorandum of Understanding for Participation in the U.S. Army Potential Contractor Program) form the basis of the agreement between the Army and the potential contractor. Finally, and in accordance with AR 380-49, the APCP manager will prepare a DD Form 254 (Contract Security Classification Specification) as part of the APCP registration when the contractor is expected to receive classified information. The AIFIM will provide a detailed letter of instruction on this certification process in order to support program consistency.

(3) The APCP manager will not certify a potential contractor for subject fields of interest outside the mission area of the certifying organization or outside the area of competence demonstrated by the applicant. Certification will be based upon third-party confirmation of company fields of interest. To obtain this information, the APCP manager will contact U.S. Government personnel who know the company. If this is not possible, the APCP manager may base a certification on resumes, publication lists, subcontracting history, IR&D technical plans, and so forth.

(4) Intelligence materials containing warning notices (i.e., classified information marked NOFORN, WNINTEL, NOCONTRACT, etc., in accordance with AR 380-5) will not be released to firms on the basis of their APCP registration. Such material may be released only to companies having an Army contract in support of a national security mission. Possible exceptions will be considered individually and will require DCSINT approval.

(5) A potential contractor will be certified for a limited time period deemed adequate for a contractor competent in the field of interest to acquire a contract with a DOD agency. In no case may the certification period exceed three years, but certification may be renewed through reapplication.

(6) The APCP manager will notify the AIFIM of all certifications of potential U.S. contractors and any changes in certification status. This will be done by providing copies of DD Form 1540 and related correspondence submitted to the Defense Technical Information Center.

(7) Foreign-owned contractors will not be certified. Instead, each request for access to Army facilities will be considered on a case-by-case basis through established foreign-disclosure channels.

2-3. Research and development unfunded studies

a. Industrial, scientific, educational, and other organizations may conduct studies or projects pertaining to Army materiel requirements. These studies could be of greater mutual value if conducted with access to DOD scientific, technical, and planning information and consultation with Army personnel.

b. On request by a qualified organization wishing to conduct a research and development study at its own expense, a materiel-developing agency may assist by making available for limited consultation Army personnel and agencies the organization needs to accomplish a meaningful study. In this connection, the developing agency will sponsor the study organization for access to classified and unclassified scientific and technical information through the APCP, subject to the constraints specified in paragraph 2-2d.

c. The Army coordinator (usually the ILO) will advise the study organization that the Army will not use an unfunded study to limit competition among sources in any subsequent procurement in the same subject area and will not give a study organization preferred status in any such procurement. The Army coordinator will also advise the study organization that it cannot recover costs of unfunded studies through overhead or general and administrative charges on Federal contracts.

d. Developing agencies will, in their assigned areas, furnish written instructions and guidance to potential study organizations and approve study requests. The agencies will determine validity of requests for studies within their cognizance and, in coordination with other interested agencies and commands, will evaluate the anticipated returns to the Department of the Army. In determining whether a study is justified, the evaluator should consider such factors as competency of the organization in the proposed study area, validity of the proposed study, value to the Army, and level and type of support requested.

e. The policy statement and memorandum of understanding shown in DA Form 5679-R (Policy Statement and Study Agreement for Participation in the U.S. Army Unfunded Study Program) will form the basis for the agreement between the Army and the study organization.

f. Information that will assist in conducting the study, such as Department of the Army research and development plans and requirements, may be released to qualified organizations through interviews, briefings, and distribution of written documents or correspondence. This release will be subject to security restrictions and need-to-know, and relevant restrictions on the release of scientific, technical, and computer-related data.

g. The sponsoring agency will certify the study organization's need-to-know on visit requests to other agencies and commands on an individual basis. Normally, a study organization will address a visit request to the agency head or commander concerned, stating the purpose of the visit, subject areas to be discussed, and specific information requested. Study organizations should refer to DOD 5220.22-M, section V, for additional information.

h. Study organizations will submit final reports in accordance with AR 70-45. The sponsoring agency will ensure that study reports are properly distributed and reviewed; give appropriate recognition, such as a letter of appreciation, to the organization concerned; and take follow-up actions from the report as appropriate.

i. The study coordinator will inform the AIFIM of all unfunded studies (by copy of the memorandum of understanding and scope of work) and will submit a DD Form 1498 (Research and Technology Work Unit Summary) to DTIC (see AR 70-9).

j. The study organization will not consider as proprietary the data that the Government supplies either directly or indirectly under this program.

2-4. Advance Planning Briefing for Industry (APBI)

a. APBIs are formal classified or unclassified presentations to

persons outside the U.S. Government describing mid- and long-range RDA plans and programs related to future Army materiel requirements. APBIs are designed to provide current, factual, and definitive information to further the mutually profitable exchange of information with industrial, research, or educational organizations.

b. APBIs may be initiated by any Army command; research, development, and engineering center; laboratory; or agency. Coordination is required with CG, Laboratory Command (ATTN: AMSLC-TP-TI) to avoid scheduling conflicts and to assist in Laboratory Command's publication of an annual consolidated briefing schedule.

c. An APBI may be conducted jointly by the Army developing agency initiating the briefing (the "sponsoring agency") and the Training and Doctrine Command. Other agencies within the Department of Defense may also take part. Defense-oriented professional societies and trade associations may provide administrative support to APBIs under the control of the sponsoring agency. The sponsoring Army agency will give all Army components with related missions the opportunity to contribute to or participate in any APBI.

d. Briefings should be a clear, concise presentation of Army needs and the scientific and technological advances required to meet future Army requirements at the least cost and in the most efficient manner. To this end, the briefings should be directed to the long-range planners and research and development personnel rather than to administrative or sales personnel.

e. In addition to the technical presentations, each APBI will include briefings, as appropriate, on the following topics: Manpower and Personnel Integration (MANPRINT), Integrated Logistics Support (ILS), and the Army Information for Industry Program.

f. Attendance by foreign nationals will be governed by AR 380-25 and coordinated through DCSINT. The APBI sponsor will notify U.S. attendees and speakers in writing when foreign nationals will attend. The notification will include the requirement that all presentations, whether oral, visual, or documentary, be cleared and authorized for disclosure to these foreign nationals by an agency head to whom this authority has been delegated.

g. The sponsoring agency is responsible for following prescribed procedures to confirm clearance and need-to-know of participating personnel or organization representatives attending the briefing, issuing invitations, ensuring security of the briefing site, and following other administrative procedures as established by DODD 5200.12 and AR 380-5.

h. The sponsoring agency is responsible for the technical accuracy, policy, and security classification of all briefing materials. Any briefing material that must be approved by another Army agency for dissemination outside DOD will be submitted to that agency for review at least 60 days before the briefing date. Sponsoring agencies are responsible for reviewing cost and production figures to be released in APBIs. Proprietary information will be excluded from all presentations.

i. To provide adequate depth, each APBI will address a single RDA subject area. Further, within each materiel developing agency every RDA project with industry interest will be covered by an APBI at least every three years. "Industry interest" includes both potential for industry involvement in the project and industrial utilization of project output.

j. APBI sponsors should make provision for industry response. This can be done by providing time for company presentations to a Government-only audience, which permits company proprietary information to be discussed.

k. To promote the transfer of information, APBI sponsors will either provide unclassified proceedings directly to attendees, or mail classified proceedings to attendees not later than 45 days after the APBI. Sponsors may provide copies to non-attendees if security and need-to-know considerations are met. An up-to-date Technical Objective Document (see para 2-5) may be provided in lieu of or in addition to the proceedings.

2-5. Technical Objective Document (TOD)

a. Each Army laboratory and research, development, and engineering center may, annually, prepare a Technical Objective Document based upon Army needs in present and projected systems. TODs are intended to present a positive image of the preparing organization and its planned program to the external community, both Government and non-Government. TODs are used to stimulate Government and non-Government organizations, academic, scientific, and industrial, to participate in Army research and development. To this end, the preparer lists scientific and technical objectives toward which these external organizations can direct their research. TODs also provide relevant planning information for RDA programs. Organizations can use the TODs to focus and improve the technical quality and relevance of unsolicited proposals and independent research and development, and increase technology integration within the Army R&D community. Finally, TODs are intended to encourage technical discussion between non-Government scientists and engineers and their Army counterparts.

b. TODs will be distributed to a wide audience through direct mailings (developed in part by Commerce Business Daily announcements), as a handout in support of APBIs, by the TILOs, and by DTIC and the National Technical Information Service (NTIS).

c. TODs will ordinarily be limited to a nominal 50 pages and must be organized into the following structure.

(1) *Notice, Introduction.* These sections are shown in figures 2-1 and 2-2, respectively, and will be reprinted in the TOD verbatim.

(2) *Management Overview.*

(a) *Mission.* This section is a brief statement of the organization's purpose and objectives. The mission constitutes the basis for the existence of the organization.

(b) *Investment Strategy.* This section describes the organization's goals and the plans for achieving them. It should discuss the major thrusts and the impact/payoff to the Army, and should describe the major technological deficiencies and how overcoming them would provide new or improved Army capabilities.

(c) *Director's Assessment.* This "State of the Laboratory/Center" summarizes progress and accomplishments. It may also address manpower and facilities. A discussion of missed opportunities would be appropriate.

(d) *Research Programs.* A summary of the Laboratory's/Center's 6.1 program, this section should be limited to a brief discussion of the major thrusts and a statement of how the program is integrated with and supports the total program.

(e) *Technology Programs.* Each discrete technology area that supports the subject area of the TOD is described separately, including the following elements: state-of-the-art, goals and objectives, limiting technical factors, anticipated payoff, and milestones.

NOTICE

This document is for information and guidance only

We are furnishing this document for information and general guidance only. Do not construe it as a request for proposal, nor as a commitment by the Government to issue a contract. It cannot be used as the basis of a claim against the Government. Furthermore, we are not authorizing you to incur expenses in anticipation of a Government contract. Our furnishing you with this document does not obligate your company to furnish the Government any experimental, developmental, research, or production articles, services, or proposals. Neither are we asking you to comment on this document, the technical objective document program itself, or any aspects of either.

When you use Government drawings, specifications, or other data for any purpose other than a definitely related Government procurement operation, the Government thereby incurs no responsibility nor any obligation whatsoever. The fact that the Government may have formulated, furnished, or in any way supplied you with the said drawings, specifications, or other data does not in any manner license you to manufacture, use, or sell any patented invention that may arise therefrom. You may not convey any such rights or permission to anyone else.

Figure 2-1. "Notice" to be included in a Technical Objective Document

The U.S. Army Technical Objective Document is an important part of the Army's Information for Industry Program. Each Army laboratory and research, development, and engineering center has an opportunity annually to prepare a Technical Objective Document based upon Army requirements, scientific and technological opportunities, and the needs of present and projected systems.

We all recognize that the developments and accomplishments of the Army are the product of teamwork among Army scientists and engineers and their counterparts in industry and the academic community. This document is intended to increase this teamwork by providing you with necessary information on our research, development, and acquisition program. Specific objectives are:

To provide planning information for independent research and development programs.

To improve the quality of unsolicited proposals and R&D procurements.

To encourage face-to-face discussions between Army engineers and scientists and their external counterparts.

As you read through the pages that follow, you may see an opportunity to which your organization can respond. We invite you to discuss the opportunity with the scientist or engineer identified therewith. Furthermore, you may have completely new ideas not considered in this document which, if brought to the attention of the proper organization, could make a significant contribution to the Army's capabilities. The Army has a continuing interest in receiving proposals that contain new ideas, suggestions, and innovative concepts for weapons, supplies, facilities, devices, and equipment. In other words, your ideas, whether in response to this document or not, are always welcome.

Classified/limited Technical Objective Documents are available from the Defense Technical Information Center, while unclassified/unlimited documents are available from the National Technical Information Center. These documents, as well as additional information on doing business with the Army, are also available from the Army's Technical and Industrial Liaison Offices.

Figure 2-2. INTRODUCTION

Appendix A References

Section 1 Required Publications

AR 70-9

Army Research Information Systems and Report. (Cited in para 2-3.)

AR 70-21

Certification and Registration for Access to DOD Scientific and Technical Information. (Cited in para 2-2.)

AR 70-45

Scientific and Technical Information Program. (Cited in para 2-3 and in glossary entry Advance Planning Briefing for Industry.)

AR 380-5

Department of the Army Information Security Program. (Cited in paras 2-1, 2-2, and 2-4.)

AR 380-25

Foreign Visitors and Accreditations. (Cited in paras 2-1 and 2-4.)

AR 380-49

Department of the Army Industrial Security Program. (Cited in para 2-2.)

DOD 5220.22M

Industrial Security Manual for Safeguarding Classified Information. (Cited in para 2-3.)

DODD 5200.12

Policy on the Conduct of Meetings Involving Access to Classified Information. (Cited in para 2-4.)

Section 2 Required Publications

A related publication is merely a source of additional information. The user does not have to read it to understand this regulation.

AFARS 5.391

Advance Planning Acquisition Information

AR 27-60

Patents, Inventions, and Copyrights

AR 70-57

Military-Civilian Technology Transfer

AR 70-74

Independent Research and Development

AR 360-5

Public Information

AR 380-10

Department of the Army Policy for Disclosure of Information to Foreign Governments

AR 381-1

Security Controls on the Dissemination of Intelligence Information

DODD 3200.12

DOD Scientific and Technical Information Program

DODD 4230.34

Distribution Statement on Technical Documents

DODD 5230.24

Distribution Statements on Technical Documents

DODD 5230.25

Withholding of Unclassified Technical Data from Public Disclosure

DODI 5200.21

Dissemination of DOD Technical Information

DODI 5230.20

Control of Foreign Representatives

FAR 5.4

Release of Information

FAR 15.504

Advance Guidance (Unsolicited Proposals)

FAR 35.004

Publicizing Requirement and Expanding Research and Development Sources

Section 3 Referenced Forms

DA Form 5677-R

Policy Statement and Memorandum of Understanding for Review and Receipt of R&D Statements. (Prescribed in para 2-1.)

DA Form 5678-R

Policy Statement and Memorandum of Understanding for Participation in the U.S. Army Potential Contractor Program. (Prescribed in para 2-2.)

DA Form 5679-R

Policy Statement and Study Agreement for Participation in the U.S. Army Unfunded Study Program. (Prescribed in para 2-3.)

Section 4 Referenced Forms

DD Form 254

Contract Security Classification Specification

DD Form 441

DOD Security Agreement

DD Form 1498

Research and Technology Work Unit Summary

DD Form 1540

Registration for Scientific and Technical Information Services

Glossary

Section I Abbreviations

AFARS

Army Federal Acquisition Regulation Supplement

AIFIM

Army Information for Industry Manager

AIMILO

Army/industry materiel information liaison officer

AMC

U.S. Army Materiel Command

APAI

Advance Planning Acquisition Information

APBI

Advance Planning Briefing for Industry

APCP

Army Potential Contractor Program

ASA(RDA)

Assistant Secretary of the Army (Research, Development, and Acquisition)

CG

Commanding General

DA

Department of the Army

DCSINT

Deputy Chief of Staff for Intelligence

DCSOPS

Deputy Chief of Staff for Operations and Plans

DTIC

Defense Technical Information Center

DOD

Department of Defense

FAR

Federal Acquisition Regulation

HQDA

Headquarters, Department of the Army

IFIP

Information for Industry Program

ILO

industrial liaison officer

ILS

Integrated Logistics Support

IR&D

Independent Research and Development

LABCOM

U.S. Army Laboratory Command

MANPRINT

Manpower and Personnel Integration

NTIS

National Technical Information Service

O&O

operational and organizational

R&D

research and development

RDA

Research, Development, and Acquisition

RDT&E

research, development, test, and evaluation

TILO

Technical and Industrial Liaison Office

TOD

Technical Objective Document

TRADOC

U.S. Army Training and Doctrine Command

Section II Terms

Advance Planning Briefing for Industry (APBI)

A formal, classified or unclassified presentation to appropriately cleared representatives of the United States, Canada, United Kingdom, and other eligible foreign Government or non-Government industrial, scientific, technical, and educational organizations. The briefing describes mid- and long-range research and development plans and programs related to future military requirements. The following are not considered APBIs:

a. Research and development symposia, conferences, and technical meetings. (See AR 70-45.)

b. Classified briefings related to current operational problems, procurement practices or policies, and management of research and development functions and activities.

Materiel developer

The command or agency responsible for research, development, development tests, and production validation of an item (to include the system for its logistic support) that responds to Department of the Army (DA) objectives and requirements. The following are considered to be materiel developers:

a. Chief of Engineers (Office of the Chief of Engineers).

b. The Surgeon General (Office of the Assistant Surgeon General for Research and Development).

c. Commanding General, U.S. Army Materiel Command.

d. Commander, U.S. Army Research Institute for the Behavioral and Social Sciences.

Monitoring

Observing and consulting on the course of

the research without directing or imposing any means of restrictive control.

Need-to-know

The demonstration by an industrial, scientific, technical, or educational organization of acceptable evidence of an existing research and development capability, or of a firm and feasible intent to expand the existing capability. The organization and its representatives also must possess, or be eligible for, individual and facility security clearance(s) of a classification level commensurate with the specific information to be released.

Policy agreement

Any agreement between a qualified organization and the Department of the Army that establishes a legal basis for the release of Army documents to that organization.

Qualified individuals and organizations

U.S. citizens; U.S. industrial, educational, research, and nonprofit institutions, and corporations or member companies; other U.S. civilian agencies; or approved foreign representatives that have—

a. Expressed a desire to participate in a specific research or development effort of the Department of the Army.

b. Obtained required individual personnel and facility security clearances at the appropriate level.

c. Presented acceptable evidence of a research or development capability in being, or of a firm and feasible intent to expand the existing capability adequately.

d. Completed, in the case of those desiring to participate in the Army Information for Industry, Potential Contractor, or Unfunded Study Programs, a policy agreement concerning release of Department of the Army documents and information.

Unfunded study

Study of a research or development problem or requirement initiated and conducted by a qualified organization at no direct cost to the Government, but with the approval and support of the Department of the Army.

There are no special terms.

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RESERVED

**POLICY STATEMENT AND MEMORANDUM OF UNDERSTANDING FOR
REVIEW AND RECEIPT OF R&D DOCUMENTS**

For use of this form, see AR 70-35; the proponent agency is SARDA

Prior to reviewing any classified or unclassified documents in the Technical and Industrial Liaison Office, you must understand and agree to the following policy statement.

POLICY

1. It is the policy of the U.S. Army, as implemented by the Technical and Industrial Liaison Office (TILO), to release classified and unclassified R&D planning information, requirements information, descriptions of Army materiel and equipment, and other related information to qualified individuals and organizations to be used for planning their participation in the overall Army research, development, and acquisition program. As a qualified recipient, you must be a U.S. citizen and represent a U.S. firm, partnership, or corporation having personnel and facility security clearances at the appropriate level, storage capability, and an appropriate need-to-know. If you represent an organization that is foreign owned, controlled, operated, or influenced, we must coordinate your visit and subsequent document release through established foreign-disclosure channels.

2. After we confirm your security clearances and storage capability, we shall mail you the classified documents or portions thereof that you request as well as your classified handwritten notes.

3. Classified documents that we furnish you shall remain the property of the U.S. Government and are subject to our recall at any time. You may not reproduce or disseminate any of these documents without our written approval.

4. Your organization must safeguard all classified documents, providing and maintaining a system of security controls in accordance with DD Form 441 (*DOD Security Agreement*) and DOD 5220.22M (*Industrial Security Manual for Safeguarding Classified Information*).

MEMORANDUM OF UNDERSTANDING

I, on behalf of _____

INDIVIDUAL, COMPANY, OR CORPORATION

have read, understand, and agree to the provisions of the above policy statement. I understand that the information provided to me is for information and guidance only and is not to be construed as a request for a proposal or as a commitment by the U.S. Government to issue a contract, or as authority for my organization to incur expenses in anticipation of a Government contract. Furthermore, I am not being asked to furnish the U.S. Government any experimental, developmental, research, or production articles, services, or proposals. Attached to this form are my hand-written notes (*if any*) and a list of the documents and/or pages that I am requesting. I have indicated the document names, the pages required, and their respective security classification by a (U), (C), or (S).

SIGNATURE

PRINTED OR TYPED NAME

TITLE OR POSITION

DATE

POLICY STATEMENT AND MEMORANDUM OF UNDERSTANDING FOR PARTICIPATION IN THE U.S. ARMY POTENTIAL CONTRACTOR PROGRAM

For use of this form, see AR 70-35; the proponent agency is SARDA

Before you may obtain or review information or material in connection with the U.S. Army Potential R&D Contractor Program, you must clearly understand and agree to the following policy statement as the individual signing this agreement for your organization.

POLICY

1. The Army sponsor will furnish your organization with, or provide access to, certain information or material, hereafter called documents, under the following conditions:

- a. Classified or limited-distribution documents that we furnish you are to remain the property of the U. S. Government.
- b. Such documents are subject to recall by your Army sponsor at any time.
- c. You must dispose of documents that you obtain from the Army sponsor or from the Defense Technical Information Center (DTIC) through this program in accordance with the provisions of DOD 5220.22M (*Industrial Security Manual for Safeguarding Classified Information*).
- d. You may not reproduce or disseminate these documents outside your organization without our written permission as your DOD sponsor.
- e. Your organization must safeguard all classified documents, providing and maintaining an internal system of security controls in accordance with (1) the requirements of the DD Form 441 (*DOD Security Agreement*), (2) DOD 5220.22M, and (3) any revisions of the manual required by the demands of national security as determined by the United States Government. Insofar as the provisions of the Industrial Security Manual are concerned, the terms "Contracting Officer or his authorized representative" will mean the Army representative authorized to release or to sponsor the release of documents.
- f. We furnish the documents for information and general guidance only. You may not construe them as a request for proposal, or as a commitment on the part of the Government that a contract may be issued, or as authority for you to incur expenses in anticipation of a Government contract. Nothing in, or arising from, this transaction will be used as the basis of a claim against the Government. Finally, do not construe our furnishing of these documents to you as creating an obligation on your part to furnish the U. S. Government with any experimental, developmental, research, or production articles, services, or proposal.
- g. You should recognize that the Army may be utilizing various facilities to obtain solutions to the problems that you might infer from the documents that you receive from us or from DTIC. Any ideas that you may generate as a result of your study and analysis of these documents, and that you offer to the Army, will be evaluated in competition with the ideas and results of others.

2. Either your organization or the DOD sponsor may terminate this agreement by giving the other party written notice of intent-to-terminate 30 days prior to the effective date of termination; otherwise this agreement will remain in effect for three years from the date signed by the Army sponsor. In the event of termination or expiration, your organization shall continue to be bound by the requirements herein with respect to information or material furnished pursuant to this policy agreement.

MEMORANDUM OF UNDERSTANDING

I hereby agree to comply with the Army Potential Contractor Program policy requirements stated above.

I certify that I am (*check appropriate line*)

☐ Sole owner of the organization identified below.

☐ A member of the partnership organization identified below and have full authority to bind said organization with respect to this agreement.

☐ An authorized representative of the organization identified below and have full authority to bind said organization with respect to this agreement.

**POLICY STATEMENT AND MEMORANDUM OF UNDERSTANDING FOR PARTICIPATION IN THE U.S. ARMY
POTENTIAL CONTRACTOR PROGRAM--Continued**

I also certify that:

- a. Information and technical supporting data supplied herewith are correct and that neither the applicant nor any person in any connection with the applicant as a principal or officer, so far as is known, is now debarred or otherwise declared ineligible by any agency of the Federal Government from bidding for furnishing materials, supplies, or services to the Government or any agency thereof.
- b. This organization has a capability to perform research and development functions in the technical fields of interest indicated on the accompanying DD Form 1540 (*Registration for Scientific and Technical Information*).
- c. This Army sponsorship of access to the documentation services, such as provided by the Defense Technical Information Center, will be used only when documents are required to pursue R&D towards Army goals.

NAME OF ORGANIZATION AND MAILING ADDRESS

SIGNATURE OF COMPANY OFFICIAL

DATE

TYPED NAME AND TITLE

NOTE: When a corporation is a party to this agreement, the following certificate must be executed by a corporate officer other than the official who signed the above agreement on behalf of the corporation.

CERTIFICATE

I, _____, certify that I am the Secretary of the corporation. I further certify that the above company official who signed this agreement on behalf of the corporation is the _____ of the corporation and has the authority to bind the corporation with respect to this agreement.

CORPORATE TITLE

SIGNATURE

(CORPORATE SEAL)

POLICY STATEMENT AND STUDY AGREEMENT FOR PARTICIPATION IN THE U.S. ARMY R&D UNFUNDED STUDY PROGRAM

For use of this form, see AR 70-35; the proponent agency is SARDA

Before you agree to perform an unfunded study for the U.S. Army or obtain information or material in connection with the U.S. Army R&D Unfunded Study Program, you must clearly understand and agree to the following policy statement as the individual signing this agreement for your organization.

POLICY

1. The Army sponsor will furnish your organization with, or provide access to, certain information or material, hereafter called documents, under the following conditions:

- a. Classified or limited-distribution documents that we furnish you are to remain the property of the U. S. Government.
- b. Such documents are subject to recall by your Army sponsor or study coordinator at any time.
- c. You must dispose of documents that you obtain from the Army sponsor or from the Defense Technical Information Center (DTIC) through this program in accordance with the provisions of DOD 5220.22M (*Industrial Security Manual for Safeguarding Classified Information*).
- d. You may not reproduce or disseminate these documents outside your organization without our written permission as your DOD sponsor.
- e. Your organization must safeguard all classified documents, providing and maintaining an internal system of security controls in accordance with (1) the requirements of the DD Form 441 (*DOD Security Agreement*), (2) DOD 5220.22M, and (3) any revisions of the manual required by the demands of national security as determined by the U. S. Government. Insofar as the provisions of the Industrial Security Manual are concerned, the terms "Contracting Officer or his authorized representative" will mean the Army representative authorized to release or to sponsor the release of documents.
- f. We furnish the documents for information and general guidance only. You may not construe them as a request for proposal, or as a commitment on the part of the Government that a contract may be issued, or as authority for you to incur expenses in anticipation of a Government contract. Nothing in, or arising from, this transaction will be used as the basis of a claim against the Government. Finally, do not construe our furnishing of these documents to you as creating an obligation on your part to furnish the U. S. Government with any experimental, developmental, research, or production articles, services, or proposal.
- g. You shall not consider as proprietary any data that we supply, either directly or indirectly, and the Army will consider that it has unlimited rights in any reports or information that you furnish to us under this agreement unless the information that you consider to be proprietary is marked in accordance with the Federal Acquisition Regulation (*see particularly 15.413-1 and 52.215*). Nothing in this agreement shall deprive the Army of any rights to which it is entitled, now or later.
- h. You shall not release information concerning the study and/or its results to the public without the written permission of your Army sponsor or study coordinator.
- i. You should recognize that the Army may be utilizing various facilities to obtain solutions to the problems that you might infer from the documents that you receive from us or from DTIC. Any ideas that you may generate as a result of your study and analysis of these documents, and that you offer to the Army, will be evaluated in competition with the ideas and results of others.
- j. The Army will not use this study as the basis for limiting competition in any subsequent procurement in the same subject area and will not give your organization a preferred status in any such procurement.
- k. Your study organization cannot recover the cost of this unfunded study through overhead or general and administrative costs on Federal contracts.
- l. Your organization shall furnish the study coordinator with a report of the results of this unfunded study within a reasonable time after the completion of the study.

2. Either your organization or the DOD sponsor may terminate this agreement by giving the other party written notice of intent-to-terminate 30 days prior to the effective date of termination; otherwise this agreement will remain in effect for one year from the date signed by the Army sponsor. In the event of termination or expiration, your organization shall continue to be bound by the requirements herein with respect to information or material furnished pursuant to this policy agreement.

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TAB

POLICY STATEMENT AND STUDY AGREEMENT FOR PARTICIPATION IN THE U.S. ARMY R&D UNFUNDED STUDY PROGRAM--Continued

TITLE OF STUDY

STARTING DATE

REPORT DUE

STUDY COORDINATORS

DEPARTMENT OF THE ARMY

STUDY ORGANIZATION

By my signature below as the authorized representative of the study organization, I hereby agree to comply with the Army R&D Unfunded Study Program policy requirements stated above.

I certify that I am *(check appropriate line)*

☐ Sole owner of the organization identified below.

☐ A member of the partnership organization identified below and have full authority to bind said organization with respect to this agreement.

☐ An authorized representative of the study organization identified below and have full authority to bind said organization with respect to this agreement.

I also certify that:

a. Information and technical supporting data supplied herewith are correct and that neither the applicant nor any person in any connection with the applicant as a principal or officer, so far as is known, is now debarred or otherwise declared ineligible by any agency of the Federal Government from bidding for furnishing materials, supplies, or services to the Government or any agency thereof.

b. This Army sponsorship of access to the documentation services, such as provided by the Defense Technical Information Center, will be used only when documents are required to pursue R&D towards Army goals and the attached unfunded study scope of work.

NAME OF ARMY SPONSOR

NAME OF STUDY ORGANIZATION REPRESENTATIVE

SIGNATURE OF SPONSOR

SIGNATURE OF REPRESENTATIVE

TITLE OF SPONSOR

TITLE OF REPRESENTATIVE

NAME AND ADDRESS OF SPONSORING AGENCY

NAME AND ADDRESS OF STUDY ORGANIZATION

NOTE: When a corporation is a party to this agreement, the following certificate must be executed by a corporate officer other than the official who signed the above agreement on behalf of the corporation.

CERTIFICATE

I, _____, certify that I am the Secretary of the corporation. I further certify that the above company official who signed this agreement as the authorized study organization representative is the

_____ of the corporation and is within his or her corporate powers.

CORPORATE TITLE

(CORPORATE SEAL)

SIGNATURE

UNCLASSIFIED

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ELECTRONIC PUBLISHING SYSTEM
TEXT FORMATTER ... Version 2.45

PIN: 004451-000

DATE: 05-11-99

TIME: 09:06:34

PAGES SET: 22

DATA FILE: s457.fil

DOCUMENT: AR 70-35

DOC STATUS: NEW PUBLICATION